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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Allergan, Inc.

DIV4 of USP 5776699 issued 7/7/1998

Application No./Patent No.: 6942980Filed/Issue Date: 09/13/2005

Entitled: METHODS OF IDENTIFYING COMPOUNDS HAVING NUCLEAR RECEPTOR NEGATIVE
HORMONE AND/OR ANTAGONIST ACTIVITIES

ALLERGAN, INC.

(Name of Assignee)

a Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest
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in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Elliott S. Klein, et al.To: Allergan

The document was recorded in the United States Patent and Trademark Office at
Reel 007992, Frame 0602, or for which a copy thereof is attached.

2. From: Allergan Sales, LLCTo: Allergan, Inc.

The document was recorded in the United States Patent and Trademark Office at
Reel 013933, Frame 0496, or for which a copy thereof is attached.

3. From: Elliott S. Klein, et al.To: VISION PHARMACEUTICALS, L.P (now Allergan Sales...)

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☒ Additional documents in the chain of title are listed on a supplemental sheet.

☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Debra D. Condino

Signature

5/15/2011

Date

Debra D. Condino

Printed or Typed Name

714.246.2388

Telephone Number

Assistant Secretary

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT UNDER 37 CFR 3.73(B) – SUPPLEMENTAL SHEET

Applicant/Patent Owner: Allergan, Inc.

Application No./Patent No.: 6942980

Filed/Issue Date: 09/13/2005

B. Chain of title Continued...

4. From Alergan Sales, LLC. To Allergan, Inc..

The document was recorded in the United States Patent and Trademark Office at

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US006942980B1

(12) **United States Patent**
Klein et al.

(10) Patent No.: **US 6,942,980 B1**
(45) Date of Patent: **Sep. 13, 2005**

(54) **METHODS OF IDENTIFYING COMPOUNDS HAVING NUCLEAR RECEPTOR NEGATIVE HORMONE AND/OR ANTAGONIST ACTIVITIES**

(75) Inventors: **Elliott S. Klein**, Marina Del Ray, CA (US); **Sunil Nagpal**, Lake Forest, CA (US); **Roshantha A. Chandraratna**, Mission Viejo, CA (US)

(73) Assignee: **Allergan, Inc.**, Irvine, CA (US)

(*) Notice: Subject to any disclaimer, the term of this patent is extended or adjusted under 35 U.S.C. 154(b) by 677 days.

(21) Appl. No.: **09/685,828**

(22) Filed: **Oct. 10, 2000**

Related U.S. Application Data

- (60) Division of application No. 09/042,943, filed on Mar. 17, 1998, now Pat. No. 6,218,128, which is a continuation-in-part of application No. 08/613,863, filed on Mar. 11, 1996, now Pat. No. 5,776,699.
- (60) Provisional application No. 60/019,015, filed on Sep. 1, 1995, provisional application No. 60/064,853, filed on Sep. 1, 1995, and provisional application No. 60/020,501, filed on Oct. 13, 1995.

(51) Int. Cl.⁷ **C12Q 1/68**

(52) U.S. Cl. **435/7.1; 435/4; 435/6; 436/501**

(58) Field of Search **436/501; 435/4, 435/7.1, 6**

(56) **References Cited**

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Conversion of Methyl Ketones into Terminal Acetylenes and (E)-Tri-substituted Olefins of Terpenoid Origin by Ei-ichi, et al., *J. Org. Chem.*, (1980) 45/12: p.2526.

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Primary Examiner—James Housel
Assistant Examiner—Myron G. Hill
(74) Attorney, Agent, or Firm—Brent A. Johnson; Martin A. Voet; Robert J. Baran

(57) **ABSTRACT**

Methods of characterizing and identifying negative hormones of nuclear receptors. Also disclosed are methods of making modulators of retinoid nuclear receptor transactivation activity, assays for agonists, antagonists, and negative hormones of the RAR receptor, and specific retinoid modulators of retinoid nuclear receptors.

4 Claims, 20 Drawing Sheets

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Total Assignments: 1

Patent #: 6942980

Issue Dt: 09/13/2005

Application #: 09685828

Filing Dt: 10/10/2000

Inventors: Elliott S. Klein, Sunil Nagpal, Roshantha A. Chandraratna

Title: METHODS OF IDENTIFYING COMPOUNDS HAVING NUCLEAR RECEPTOR NEGATIVE HORMONE AND/OR ANTAGONIST ACTIVITIES

Assignment: 1

Reel/Frame: 013965/0566

Recorded: 04/11/2003

Pages: 32

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignor: ALLERGAN SALES, LLC (FORMERLY IN THE NAME OF VISION PHARMACEUTICALS L.P. OR ALLERGAN - WITH WACO OR DUPONT ADDRESS)

Exec Dt: 04/03/2003

Assignee: ALLERGAN, INC.
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Correspondent: ALLERGAN, INC.
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Total Assignments: 2

Patent #: 6218128

Issue Dt: 04/17/2001

Application #: 09042943

Filing Dt: 03/17/1998

Inventors: ELLIOTT S. KLEIN, SUNIL NAGPAL, ROSHANTHA A. CHANDRARATNA

Title: METHODS OF IDENTIFYING COMPOUNDS HAVING NUCLEAR RECEPTOR NEGATIVE HORMONE AND/OR ANTAGONIST ACTIVITIES

Assignment: 1

Reel/Frame: 009220/0375

Recorded: 05/18/1998

Pages: 9

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JOHNSON, ALAN T.

Exec Dt: 05/04/1998

STANDEVEN, ANDREW M.

Exec Dt: 04/28/1998

BEARD, RICHARD L.

Exec Dt: 05/05/1998

GILLET, SAMUEL J.

Exec Dt: 04/10/1998

DUONG, TIEN T.

Exec Dt: 05/01/1998

NAGPAL, SUNIL

Exec Dt: 04/30/1998

VULIGONDA, VIDYASAGAR

Exec Dt: 04/30/1998

TENG, MIN

Exec Dt: 05/06/1998

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Assignment: 2

Reel/Frame: 013933/0496

Recorded: 04/14/2003

Pages: 41

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ALLERGAN- WITH WACO OR DUPONT ADDRESS

Exec Dt: 04/04/2003

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Total Assignments: 2

Patent #: 5776699

Issue Dt: 07/07/1998

Application #: 08613863

Filing Dt: 03/11/1996

Inventors: ELLIOTT S. KLEIN, SUNIL NAGPAL, ROSHANTHA A. CHANDRATNA

Title: METHOD OF IDENTIFYING NEGATIVE HORMONE AND/OR ANTAGONIST ACTIVITIES

Assignment: 1

Reel/Frame: 007992/0602

Recorded: 05/09/1996

Pages: 8

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignors: KLEIN, ELLIOTT S.

Exec Dt: 05/01/1996

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Exec Dt: 05/01/1996

STANDEVEN, ANDREW M.

Exec Dt: 05/01/1996

BEARD, RICHARD L.

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Exec Dt: 05/03/1996

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NAGPAL, SUNIL

Exec Dt: 05/01/1996

MULIGONDA, VIDYASAGAR

Exec Dt: 05/01/1996

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Assignment: 2

Reel/Frame: 013933/0496

Recorded: 04/14/2003

Pages: 41

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

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Exec Dt: 04/04/2003

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Exec Dt: 04/04/2003

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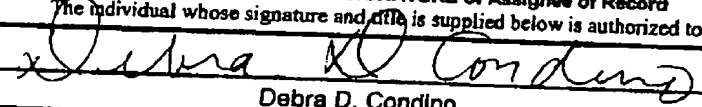
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Allergan, Inc.
2525 Dupont Drive
Irvine, CA 92612

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